

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

COMPLETION OF FILING NATIONAL PHASE OF PCT APPLICATION**UNDER RULE 35 USC 371 AND 37 CFR 1.494(C) OR 1.495(C)****BOX PCT****COMPLETION
For PCT Cases Only**In re PATENT APPLICATION ofAttn: **Application Division**

Inventor(s): NAKAJIMA

Appl. No.: 09 786,208Atty. Dkt. P 277852 NI-0001PCTUSSeries Code \uparrow Serial No. \uparrow

M# Client Ref

National Phase Field

Based on PCT JP99 04178 \uparrow Country Code & YearTitle: **ELECTRONIC SETTLEMENT SYSTEM, SETTLEMENT
APPARATUS, AND TERMINAL**

Date: May 8, 2001

FILING OF ITEM(S) LATE IN PCT/USA NATIONAL CASEAsst. Commissioner of Patents
Washington, DC 20231

Sir:

The following completes the filing of the subject application under Rule 494(c)/495(c). Please accept the following attached items:

1. Missing Requirements Notice (PCT/DO/EO/905) ☒ copy attached ☐ not yet received
2. ☐ **Signed Declaration** ☐ Original ☐ Facsimile/Copy ☐ with spec/claims attached
3. ☐ **Translation** of the International Application into English including:
 - a. ☐ Request;
 - b. ☐ Abstract
 - c. ☐ pgs. Spec. and Claims;
 - d. ☐ Translation verification.
 - e. ☐ sheets Drawing which are: ☐ informal ☐ formal of size ☐ A4 ☐ 11"
4. ☐ Copy of **International Search Report (ISR)** attached (page(s))
 - a. ☐ plus Annex of family members (page(s))

5. **Information Disclosure Statement** including05/10/2001 MAILER 0000054 03375 09786208
01 FC:156

- a. ☒ PTO-1449 listing documents
- b. ☐ Copies of document(s) listed on Form PTO-1449
- c. ☐ A concise explanation of ISR references is given in the ISR
6. ☐ **Assignment** and cover sheet. Please return the recorded assignment to the undersigned.
7. ☐ Copy of Power to international application agent.
8. (No.) Small Entity Statement(s) establishing "small entity" status under Rules 9 & 27.
9. ☐ Formal Drawings: sheet(s) ☐ informal; ☐ formal of size: ☐ A4 ☐ 11"
10. ☒ Please immediately start national examination procedures (35 USC 371(f))

11. ☒ Attached: Substitute Translation of Specification in response to the Notification of Missing Requirements Under 35 U.S.C. 371 mailed April 9, 2001.
12. ☐ Preliminary Amendment:
13. ☒ Basic U.S. National fee per Rule 492(a)(1)-(4) was previously timely filed.:
14. **Calculation of remaining fees due (if any):** based on amended claim(s) per above item
☐ 12 (above) or item(s) in PAT-112 (filed previously) ☐ 12 ☐ 14 ☐ 17 ☐ 25
15. **CLAIMS FEES** ☒ previously paid ☐ paid herewith as follows:
- 15A. Small Entity Statement ☐ Herewith ☐ Previously Filed

		Large/Small Entity		Fee Code
16. Total Effective Claims	minus 20 =	x \$18/\$9	+	966/967
17. Independent Claims	minus 3 =	x \$80/\$40	+	964/965
18. If any proper multiple dependent claim (ignore improper) is present,		\$270/\$135	+0	968/969
19. Filing Declaration late, fee paid <input type="checkbox"/> previously <input type="checkbox"/> now		\$130/\$65	+0	154/254
20. SUBTOTAL		\$		
21. Original due date: June 9, 2001				
22. Petition is hereby made to extend the <u>original</u> due date to		(1 mo) \$110/\$55 =	+0	115/215
cover the date this response is filed for which the requisite fee		(2mos) \$390/\$195 =		116/216
is attached		(3mos) \$890/\$445 =		117/217
		(4mos) \$1390/\$695 =		118/218
23. If "non-English" box 3 is X'd, add Rule 17(k) processing fee		\$130	+0	156
24. If "assignment" box 6 is X'd, add recording fee.		\$40	+0	581
25. TOTAL FEE ENCLOSED =		\$ 0		

(Our Deposit Account No. 03-3975)

(Our Order No. 007874 | 0277852
C# M#)

CHARGE STATEMENT: The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (missing or insufficient fee only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown above for which purpose a duplicate copy of this sheet is attached.

This CHARGE STATEMENT does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed.

**Pillsbury Winthrop LLP
Intellectual Property Group**

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NOTE: File in duplicate with PTO receipt (PAT-103A) and attachments



UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PCT
United States Patent and Trademark Office
Washington, D.C. 20231
www.uspto.gov

U.S. APPLICATION NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/786208	RECEIVED PILLSBURY WINTHROP LLP/DC	K P277852
PILLSBURY WINTHROP LLP 1100 NEW YORK AVENUE, N.W. 9TH FLOOR WASHINGTON, DC 20005		INTERNATIONAL APPLICATION NO. PCT/JP99/04178
APR 11 2001		I.A. FILING DATE 02 AUG 99
CL# 78741 MT# 21135 ATTY(S) C. J. D. DUE: MAR 19 2001 DKT BY (1) JCHS (2) DEW		PRIORITY DATE 02 AUG 99
		DATE MAILED: 09 APR 2001

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as ☒ a Designated Office (37 CFR 1.494) ☐ an Elected Office (37 CFR 1.495):
- ☒ U.S. Basic National Fee. ☐ Indication of Small Entity Status.
 - ☒ Copy of the international application. ☒ Translation of the international application into English.
 - ☒ Oath or Declaration of inventors(s). ☐ Translation of Article 19 amendments into English.
 - ☐ Copy of Article 19 amendments. ☐ Other:
 - ☐ Priority Document.
 - ☐ The International Preliminary Examination Report in English and its Annexes, if any.
 - ☐ Translation of Annexes to the International Preliminary Examination Report into English.
2. ☒ Applicant has requested early processing under 35 U.S.C. 371(f) but has not filed the following indicated items and/or the indicated items in paragraph 3 below. The Basic National Fee and the copy of the international application must be filed prior to 20 or 30 months from the priority date to avoid abandonment.
- ☐ U.S. Basic National Fee. ☐ Copy of the international application.
3. The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:
- ☒ a. Translation of the application into English. A processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.
 - ☒ The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.
 - ☐ b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).
 - ☐ c. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), properly identifying the application (preferably by the International application number and international filing date). A surcharge will be required if submitted later than the appropriate 20 or 30 months from the priority date.
 - ☐ The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.
 - ☐ d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).
4. Additional claim fees of \$_____ as a ☐ large entity ☐ small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due (37 CFR 1.492(g)). See attached PTO-875.
5. ☐ Applicant has not submitted the required sequence listing pursuant to 37 CFR 1.821-1.825. See attached PCT/DO/EO/920.

ALL OF THE ITEMS SET FORTH IN 3(a)-3(d), 4 AND 5 ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 22 OR 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

6. If box 3a or 3c is checked, a translation of the Annexes **MUST** be submitted no later than the time period set above or the Annexes will be cancelled. A processing fee will be required if submitted later than 20 or 30 months from the priority date.
7. ☐ The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 1.494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

A copy of this notice MUST be returned with this response.

Enclosed: ☐ PCT/DO/EO/917 ☒ Notice of Defective Translation
☐ PTO-875 ☐ PCT/DO/EO/920

Shakeel Ahmed



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
Address: ASSISTANT COMMISSIONER FOR PATENTS
Box PCT
Washington, D.C. 20231

U.S. APPLICATION NO.

ATTACHMENT TO FORM PCT/DO/EQ

09/786208

NOTICE OF DEFECTIVE TRANSLATION

The received translation is defective because:

- ☐ (1) The text in the drawings has not been properly translated;
- ☒ (2) The number of claims in the International Application and the number of claims in the translation are not the same; *Should be as published.*
- ☐ (3) The translation of the International Application is incomplete as a number of pages are missing;
- ☐ (4) Other.

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